

20427 U.S. PTO
031604

PATENT
Docket No. 0175.0007

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Anticipated Classification of this application:

Class **438** Subclass **622**

Prior Application:

Examiner: **Thao P. Le**

Art Unit **2818**

22857 U.S. PTO
10/803119
031604

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**Transmittal of Filing
Under 37 CFR 1.53(b)**

This is a request for filing a

- ☐ Continuation
☒ Divisional

application under 37 CFR 1.53(b), of pending prior application

Serial No. **10/015,063** filed on **December 11, 2001**
(Date)

of **James R. Heath; Charles P. Collier; Yi Luo; Erica Delonno; Patricia A. Beck**
(inventors)

for **Method For Lithographic Processing Of Molecular Monolayer And Multilayer Thin Films**
(Title of Invention)

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this 37 CFR 1.53(b) request and documents referred to as attached therein are being deposited with the United States Postal Service on **March 16, 2004** in an envelope as "Express Mail Post Office to Addressee" service under 37 CFR 1.10, Mailing Label Number **EU 725249654 US** addressed to: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

GAYLE VINSON

(Type or print name of person mailing paper)

(Signature of person mailing paper)

1. Copy of Prior Application as Filed Which Is Attached

I hereby verify that the attached papers are a true copy of what is shown in my records to be the above identified prior application, including the oath or declaration originally filed (37 CFR 1.53(b)).

☒ The copy of the papers of prior application as filed which are attached as follows:

<input checked="" type="checkbox"/>	<u>15</u>	page(s) of specification
<input checked="" type="checkbox"/>	<u>4</u>	page(s) of claims
<input checked="" type="checkbox"/>	<u>1</u>	page(s) of abstract
<input checked="" type="checkbox"/>	<u>7</u>	sheet(s) of drawings
<input checked="" type="checkbox"/>	<u>5</u>	page(s) of declaration
<input checked="" type="checkbox"/>	<u>2</u>	page(s) of Application Data Sheet

(If the copy of the declaration being filed does not show applicant's signature, because the attorney's records do not contain a copy of the signed declaration actually being filed for the application, indicate thereon that it was signed and complete the following:)

☐ in accordance with the indication required by 37 CFR 60(b), my records reflect that the original signed declaration showing applicant's signature was filed on _____

☐ the amendment referred to in the declaration filed to complete the prior application and I hereby state, in accordance with the requirements of 37 CFR 1.53(b), that this amendment did not introduce new matter.

2. Amendments

☒ Cancel in this application original claims 13-23 of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

☐ A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

3. Petition for Suspension of Prosecution for the Time Necessary to File an Amendment

☐ There is provided herewith a Petition to Suspend Prosecution For The Time Necessary To File An Amendment (New Application Filed Concurrently).

4. Information Disclosure Statement

☒ An information disclosure statement is submitted therein.

5. Fee Calculation (37 CFR 1.16)

CLAIMS FOR FEE CALCULATION					
	Number Filed		Number Extra	Rate	Basic Fee 37 CFR 1.16(a) \$770.00
Total					
Claims (37 CFR 1.16(c))	13	-20 =	0	18.00	0.00
Independent					
Claims (37 CFR 1.16(b))	1	- 3 =	0	86.00	0.00
Multiple dependent claims (if any) (37 CFR 1.16(d))		+	0	290.00	0.00

☐ Fee for extra claims is not being paid at this time. (37 CFR 1.16(d))

Filing Fee Calculation 770.00

6. Small Entity Status

☐ Applicant claims small entity status (37 CFR 1.27)

Filing Fee Calculation (50% of above)

7. Drawings

☒ Drawings are enclosed
☒ formal
☐ informal

8. Priority—35 U.S.C. 119

☐ Priority of application Serial No. filed on
in is claimed under 35 U.S.C. 119..
(country)

☐ The certified copy has been filed in prior U.S. application Serial No. on

☐ The certified copy will follow.

9. **Relate Back—35 U.S.C. 120**

- ☒ Amend the specification by inserting before the first line of the following sentence:

"This is a

- ☐ continuation
☒ divisional

of copending application(s)

- ☒ Serial No. filed on
☐ International Application and which designates the U.S."

10. **Inventorship Statement**

(complete appropriate items (a) and (b))

- (a) With respect to the prior copending U.S. application from which this application claims benefit under 35 USC 120 the inventor(s) in this application is(are):

(complete applicable item below)

- ☒ the same
☐ less than those named in the prior application and it is requested that the following inventor(s) identified above for the prior application be deleted:

(type name(s) of inventor(s) to be deleted)

- (b) The inventorship for all the claims in this application are

- ☒ the same
☐ not the same, and an explanation, including the ownership of the various claims at the time the last claimed invention was made, is submitted.

11. **Assignment**

- ☒ The prior application is assigned of record to
The Regents of the University of California
☒ An assignment of the invention to
California Institute of Technology
is attached. A separate ☐ "COVER SHEET FOR ASSIGNMENT (DOCUMENT)
ACCOMPANYING NEW PATENT APPLICATION" or ☐ Form PTO 1595 is also
attached.

12. Fee Payment Being Made At This Time

- ☐ Not Enclosed
☐ No filing fee is submitted. *(This and the surcharge required by 37 CFR 1.16(e) can be paid subsequently.)*
☒ Enclosed

☒ basic filing fee 770.00

☐ recording assignment
(\$40.00; 37 CFR 1.21(h)) (See attached
"COVER SHEET FOR ASSIGNMENT
ACCOMPANYING NEW PATENT
APPLICATION")

☐ processing and retention fee
(\$130.00; 37 CFR 1.53(d)) and
1.21(l)) 0.00

Total Fees Enclosed 770.00

13. Method of Payment of Fees

☒ Enclosed is a check in the amount of 770.00

☐ Charge Account No. in the amount of
A duplicate of this request is attached.

14. Authorization to Charge Additional Fees

The Commissioner is hereby authorized to charge the following additional fees which may be required by this paper during the pendency of the application to

Account No. 50-1811

- ☒ 37 CFR 1.16(a), (f) or (g) (filing fees)
☒ 37 CFR 1.16(b), (c) and (d) (presentation of extra claims)
☒ 37 CFR 1.17 (application processing fees)
☐ 37 CFR 1.18 (issue fee at or before mailing Notice of Allowance, pursuant to 37 CFR 1.311b)).

15. Power of Attorney

- ☒ The power of attorney in the prior application is to

David J. Oldenkamp

(Attorney)

29,421

(Reg. No.)

- a. ☐ The power appears in the original papers in the prior application.
b. ☐ Since the power does not appear in the original papers, a copy of the power in the prior application is enclosed.
c. ☒ A new power has been executed and is attached.
d. ☒ Address all future communications to
(item d may only be completed by applicant, or attorney or agent of record)

David J. Oldenkamp, Esq.
Shapiro & Dupont LLP
233 Wilshire Boulevard, Suite 700
Santa Monica, CA 90401

16. Maintenance of Copendency of Prior Application

(This item must be completed and the papers filed in the prior application if the period set in the prior application has run.)

- ☐ A petition, fee and response has been filed to extend the term in the pending prior application until .
☐ A copy of the petition for extension of time in the prior application is attached.

17. Conditional Petition for Extension of Time in Prior Application

(complete this item, and file conditional petition in the prior application if previous item not applicable)

- ☐ A conditional petition for extension of time is being filed in the pending patent application.
☐ A copy of the conditional petition for extension of time in the prior application is attached.

18. Abandonment of Prior Application *(if applicable)*

- ☐ Please abandon the prior application at a time while the prior application is pending or when the petition for extension of time or to revive in that application is granted and when this application is granted a filing date so as to make this application copending with said prior application.

19. Notification in Patent Application of the Filing of This Continuation Application

- ☐ A notification of the filing of this continuation is being filed in the parent application from which this application claims priority under 35 U.S.C § 120.

20. Statement by Assignee (if applicable)

- ☐ In accordance with 37 CFR 3.73, I have reviewed the evidentiary documents establishing my/our ownership of the application identified herein, and certify that to the best of my/our knowledge and belief, title is with me/us who seek to take action.
- ☐ Assignment submitted herewith for recordal.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

March 15, 2004
Date

David J. Oldenkamp

(Type or print name of person signing declaration)

David J. Oldenkamp
Signature

Shapiro & Dupont LLP
233 Wilshire Boulevard, Suite 700
Santa Monica, CA 90401
(310) 319-5411 (Telephone)
(310) 319-5401 (Facsimile)

- ☐ Inventor
☐ Assignee of complete interest
☐ Person authorized to sign on behalf of assignee
☒ Attorney or agent of record

(complete the following if applicable)

California Institute of Technology

(Type name of assignee)

1200 E. California Boulevard

Pasadena, California 91125

Attorney of Record

(Title of person authorized to sign on behalf of assignee)

Assignment recorded in PTO on

March 9, 2004

Reel 014410

Frame 0871

The statement under 37 CFR 3.37(b)

- ☐ has been filed in the parent application.
☐ A copy of the statement previously filed in the parent application is attached.
☒ is attached hereto.